

APR 01 2002

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UNITED STATES PATENT AND TRADEMARK OFFICE

COMMISSIONER FOR PATENTS
UNITED STATES PATENT AND TRADEMARK OFFICE
WASHINGTON, D.C. 20231
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| APPLICATION NUMBER | FILING RECEIPT DATE | FIRST NAMED APPLICANT | ATTORNEY DOCKET NUMBER |
|--------------------|---------------------|-----------------------|------------------------|
| 10/084,555 | 02/25/2002 | Michael G. Goggins | JHU1700-1 |

Gray Cary Ware & Freidenrich LLP
Suite 1100
4365 Executive Drive
San Diego, CA 92121-2133



CONFIRMATION NO. 7972

FORMALITIES LETTER



OC000000007726481

Date Mailed: 03/27/2002

NOTICE TO FILE MISSING PARTS OF NONPROVISIONAL APPLICATION

07/31/2002 BABRAHA1 00000033 10084555

01 FC:205

65.00 DP

FILED UNDER 37 CFR 1.53(b)

Filing Date Granted

An application number and filing date have been accorded to this application. The item(s) indicated below, however, are missing. Applicant is given **TWO MONTHS** from the date of this Notice within which to file all required items and pay any fees required below to avoid abandonment. Extensions of time may be obtained by filing a petition accompanied by the extension fee under the provisions of 37 CFR 1.136(a).

- The oath or declaration is unsigned.
- To avoid abandonment, a late filing fee or oath or declaration surcharge as set forth in 37 CFR 1.16(l) of \$65 for a small entity in compliance with 37 CFR 1.27, must be submitted with the missing items identified in this letter.
- The balance due by applicant is \$ 65.
- This application clearly fails to comply with the requirements of 37 C.F.R. 1.821-1.825. Applicant's attention is directed to the final rulemaking notice published at 55 FR 18230 (May 1, 1990), and 1114 OG 29 (May 15, 1990). If the effective filing date is on or after July 1, 1998, see the final rulemaking notice published at 63 FR 29620 (June 1, 1998) and 1211 OG 82 (June 23, 1998). If the effective filing date is on or after September 8, 2000, see the final rulemaking notice published in the Federal Register at 65 FR 54604 (September 8, 2000) and 1238 OG 145 (September 19, 2000). Applicant must provide an initial computer readable form (CRF) copy of the "Sequence Listing", an initial paper or compact disc copy of the "Sequence Listing", as well as an amendment directing its entry into the application. Applicant must also provide a statement that the content of the sequence listing information recorded in computer readable form is identical to the written (on paper or compact disc) sequence listing and, where applicable, includes no new matter, as required by 37 CFR 1.821(e), 1.821(f), 1.821(g), 1.825(b), or 1.825(d). If applicant desires the sequence listing in the instant application to be identical with that of another application on file in the U.S. Patent and Trademark Office, such request in accordance with 37 CFR 1.821(e) may be submitted in lieu of a new CRF.

For questions regarding compliance to these requirements, please contact:

- For Rules Interpretation, call (703) 308-4216
- To Purchase PatentIn Software, call (703) 306-2600

- For PatentIn Software Program Help, call (703) 306-4119 or e-mail at patin21help@uspto.gov or patin3help@uspto.gov

A copy of this notice MUST be returned with the reply.

Y.G.
Customer Service Center

Initial Patent Examination Division (703) 308-1202

PART 1 - ATTORNEY/APPLICANT COPY



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PATENT
Attorney Docket No.: JHU1700-1

IN THE UNITED STATES PATENT AND TRADEMARK OFFICE

Applicant: Goggins and Ueki
Serial No.: 10/084,555
Filed: February 25, 2002
Title: DIFFERENTIALLY METHYLATED SEQUENCES IN PANCREATIC
CANCER

Art Unit: 1645
Examiner Unassigned

BOX MISSING PARTS

Commissioner for Patents
Washington, D.C. 20231

RESPONSE TO NOTICE TO FILE MISSING PARTS

Sir:

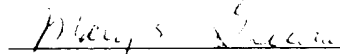
In response to the Notice to File Missing Parts of Application mailed March 27, 2002,
enclosed are:

1. A copy of the Notice to File Missing Parts of Application (2 pgs.);
2. Power of Attorney by Assignee (2 pgs.);
3. Statement regarding authorized signatures (3 pgs);
4. Petition for Extension of Time (2 pgs);
5. Check No. 514417 in the amount of \$265.00;
6. Declaration for Patent Application (4 pgs.);
7. Return Postcard.

The sequence listing is being filed concurrently herewith and being mailed under separate
cover to Box Sequence.

CERTIFICATION UNDER 37 CFR §1.8

I hereby certify that the documents referred to as enclosed herein are
being deposited with the United States Postal Service as first class
mail on July 24, 2002, in an envelope addressed to: BOX MISSING
PARTS, Commissioner for Patents, Washington, D.C. 20231


Mary E. Gillette

In re Application of:
Goggins and Ueki
Application No.: 10/084,555
Filed: February 25, 2002
Page 2

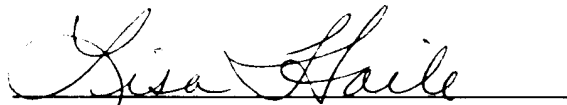
PATENT
Attorney Docket No.: JHU1700-1

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Enclosed is Check No. 514417 in the amount of \$265.00 which includes the \$65.00 surcharge fee, and two months extension of time fee. The Commissioner is authorized to charge any additional fees or credit any overpayment, to Deposit Account No. 50-1355.

Respectfully submitted,

Date: July 24, 2002



Lisa Haile, J.D., Ph.D.
Registration No. 38,347
Telephone: (858) 677-1456
Facsimile: (858) 677-1465

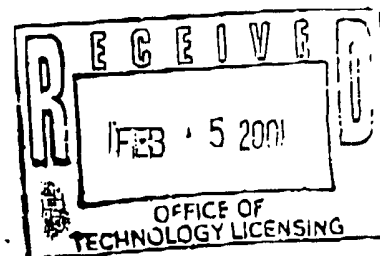
GRAY CARY WARE & FREIDENRICH LLP
4365 Executive Drive, Suite 1100
San Diego, California 92121-2133
USPTO Customer No. 28213



JOHNS HOPKINS
M E D I C I N E

Edward D. Miller, M.D.

The Frances Warr Baker, M.D. and Lenox O. Baker, Jr., M.D.
Dean of the Medical Faculty
Chief Executive Officer



MEMORANDUM

TO: Department Chairmen, Principal Investigators and Department Administrators

FROM: Edward D. Miller, M.D.
Dean of the Medical Faculty
CEO, Johns Hopkins Medicine

DATE: February 9, 2001

RE: Institutional Official Signing Authority for Grants, Contracts and Other Research Related Documents (Effective 02/09/01)

Listed below are the primary institutional officials who are authorized to sign sponsored research and technology transfer documents on behalf of The Johns Hopkins University School of Medicine:

| | | | |
|---|--|--|--|
| <u>Chi Y. Dang, M.D., Ph.D.</u> Vice Dean for Research | <u>Michael B. Arney</u> Assistant Dean for Research Administration | <u>R. Keith Baker, Ph.D.</u> Acting Director, Office of Technology Licensing | <u>William Tew Ph.D.</u> Executive Director of Licensing & Business Development |
|---|--|--|--|

| | | |
|--|--|--|
| <u>Julie Gottlieb</u> Special Assistant for Research Affairs | <u>Barbara L. Starklauf</u> Assistant Dean and Administrator, Human Subjects Committees | <u>Sponsored Research Administrators (SRA)¹</u> Stewart P. Craig, Sponsored Research Administrator Joanne Frantz, Sponsored Research Administrator Michelle P. Linehan, Sponsored Research Administrator Dennis Paffrath, Sponsored Research Administrator Linda B. Queen, Asst. Director, Research Administration |
|--|--|--|

Please prepare the appropriate signature block on documents that need to be signed. If another institutional officer must sign due to unavailability of the primary official, the signature provided will be "for" the individual listed.

| TYPE OF DOCUMENT | FORWARD TO: | SIGNATURE BY: |
|---|-------------|---|
| Competing Grant Applications to Govt./Non-Profit Sponsors | ORA | Sponsored Research Administrator |
| Non-competing Grant Applications to Govt./Non-Profit Sponsors | ORA | Sponsored Research Administrator/or Department Administrator where authorized |

¹ See department delegation Sponsored Projects Handbook, Appendix A, (http://infonet.jhu.edu/admin/spons_project/handbook/).

| TYPE OF DOCUMENT | FORWARD TO: | SIGNATURE BY: |
|--|-------------|---|
| Non-Disclosure Agreements related to Sponsored Research | ORA | M. Amey |
| Contracts ² (proposals and awards, all sponsors) | ORA | M. Amey |
| ----- Contracts that include a license ----- | ORA/OTL | C. Dang or W. Tew |
| ----- Master Agreements ----- | ORA | C. Dang |
| Prior Approval Requests and Administrative Updates for all grants (e.g., revised other support pages and letters requesting administrative action) | ORA | Sponsored Research Administrator |
| Indemnification Agreements | ORA | M. Amey |
| Awarded Contract Admin. Actions (not increased workscope or \$) | ORA | Sponsored Research Administrator |
| Final Invention Statements | ORA | Sponsored Research Administrator |
| Relinquishment Statements | ORA | Sponsored Research Administrator |
| Certificate of Animal Care and Use Approval | ORA | Sponsored Research Administrator |
| Certification of Human Subjects Research Approval Status | JCCI | B. Starklauf, or Sponsored Research Administrator |
| Consulting Agreements | CCOI | J. Gottlieb (when JHU signature required) |
| License and Option Agreements | OTL | W. Tew |
| Material Transfer Agreements | OTL | K. Baker or W. Tew |
| Non-Disclosure Agreements related to Licensing and Consulting | OTL | K. Baker or W. Tew |
| Patent Related Documents (Power of Attorney) | OTL | K. Baker |
| Confirmatory License to the Government | OTL | K. Baker |
| Stock Related Agreements (Stock Escrow, Stock Purchase etc.) | OTL | W. Tew |

ORA
JCCI
CCOI
OTL

Office of Research Administration
Joint Committee on Conflict of Interest
Committee on Conflict of Interest
Office of Technology Licensing

SOM Admin. Bldg., Room 129
Turner 36
111 Market Place, Suite 1030
111 Market Place, Suite 906

5-3061
5-3008
410-223-1608
410-347-3222

²Note: All proposals to commercial sponsors are considered contracts.

THE JOHNS HOPKINS UNIVERSITY
BALTIMORE, MARYLAND 21218

FEB 5 9 57 AM '87

February 4, 1987

Dr. Michael B. Amey
Research Administration
Room 129
School of Medicine
Administration Building

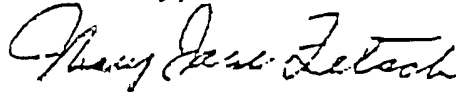
Dear Mr. Amey:

This is response to your request to Mr. DeKuyper of our Legal Office pertaining to signature authority of Deans at The Johns Hopkins University.

The following excerpt is from the minutes of the Executive Committee meeting of the Board of Trustees on November 2, 1964:

That the Deans of the Schools of Medicine and Hygiene and Public Health and one Assistant or Associate Dean who each may designate, be, and hereby are, authorized to execute and sign, in the name of and in behalf of The Johns Hopkins University, documents relating to research or training contracts or grants for their respective divisions.

Sincerely,



Mary Jane Fetsch
Assistant Secretary